

# Exhibit 4

**EXHIBIT 4:**  
**PLAINTIFF'S CASH STOCK SALES IN WHICH THE SALE PRICE WAS**  
**NEGATIVELY IMPACTED BY DEFENDANTS' SPOOFING IN THE FINAL HOUR OF**  
**A TRADING DAY (*i.e.*, between 3pm – 4pm)**

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
10/12/20	30,637	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	147,059	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	12,255	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75	28 1 2  1  	-3.11% -2.44% -3.32%  -2.84%	GTS SECURITIES LLC; CANACCORD GENUITY LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
			10/1/20** 9/30/20* 9/29/20*	\$0.73 \$0.77 \$0.81  (Average = \$0.82)	2 1 1	-2.69% -3.34% -9.88%	CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	370,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	500,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	140,845	\$0.82	10/12/20** 10/9/20* 10/8/20**	\$1.12 \$0.83 \$0.79	28 1 2	-3.11% -2.44% -3.32%	GTS SECURITIES LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
			10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	1    2 1 1	-2.84%    -2.69% -3.34% -9.88%	CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	612,745	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1  2 1 1	-3.11% -2.44% -3.32%  -2.84%  -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	183,824	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1  2 1 1	-3.11% -2.44% -3.32%  -2.84%  -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
10/12/20	122,549	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	50,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	612,745	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
				(Average = \$0.82)			LIME TRADING CORP.
10/12/20	42,892	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	98,039	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	245,098	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77	28 1 2  1   2 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
			9/29/20*	\$0.81  (Average = \$0.82)	1	-9.88%	VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	61,275	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	122,549	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	122,549	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82	28 1 2  1	-3.11% -2.44% -3.32%  -2.84%	GTS SECURITIES LLC; CANACCORD GENUITY LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
			10/2/20 10/1/20** 9/30/20* 9/29/20*	\$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	2 1 1	-2.69% -3.34% -9.88%	CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	306,373	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	30,637	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	1,225,490	\$0.82	10/12/20** 10/9/20* 10/8/20**	\$1.12 \$0.83 \$0.79	28 1 2	-3.11% -2.44% -3.32%	GTS SECURITIES LLC;



Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
			10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	1    2 1 1	-2.84%    -2.69% -3.34% -9.88%	CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	61,275	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1  2 1 1	-3.11% -2.44% -3.32%  -2.84%  -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	122,549	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1  2 1 1	-3.11% -2.44% -3.32%  -2.84%  -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
10/12/20	98,039	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	245,098	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	275,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
				(Average = \$0.82)			LIME TRADING CORP.
10/12/20	150,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	61,275	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	122,549	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77	28 1 2  1   2 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
			9/29/20*	\$0.81  (Average = \$0.82)	1	-9.88%	VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	61,275	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	2,500,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	612,745	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82	28 1 2  1	-3.11% -2.44% -3.32%  -2.84%	GTS SECURITIES LLC; CANACCORD GENUITY LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
			10/2/20 10/1/20** 9/30/20* 9/29/20*	\$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	2 1 1	-2.69% -3.34% -9.88%	CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	367,647	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	61,275	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	183,824	\$0.82	10/12/20** 10/9/20* 10/8/20**	\$1.12 \$0.83 \$0.79	28 1 2	-3.11% -2.44% -3.32%	GTS SECURITIES LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
			10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	1    2 1 1	-2.84%    -2.69% -3.34% -9.88%	CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	75,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1  2 1 1	-3.11% -2.44% -3.32%  -2.84%  -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	136,667	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1  2 1 1	-3.11% -2.44% -3.32%  -2.84%  -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
10/12/20	600,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	1,250,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	50,000	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC;

Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
				(Average = \$0.82)			LIME TRADING CORP.
10/12/20	30,637	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
10/12/20	122,549	\$0.82	10/12/20** 10/9/20* 10/8/20** 10/7/20 10/6/20* 10/5/20 10/2/20 10/1/20** 9/30/20* 9/29/20*	\$1.12 \$0.83 \$0.79 \$0.76 \$0.77 \$0.82 \$0.75 \$0.73 \$0.77 \$0.81  (Average = \$0.82)	28 1 2  1   2 1 1	-3.11% -2.44% -3.32%  -2.84%   -2.69% -3.34% -9.88%	GTS SECURITIES LLC; CANACCORD GENUITY LLC; CITADEL SECURITIES LLC; VIRTU AMERICAS LLC; LIME TRADING CORP.
12/12/21	666,667	\$0.60	12/10/21**	\$0.60	5	-3.18%	GTS SECURITIES LLC; CANACCORD GENUITY LLC
12/12/21	1,000,000	\$0.60	12/10/21**	\$0.60	5	-3.18%	GTS SECURITIES LLC;



Transaction Date	Shares Sold	Sale Price	Pricing Date(s)	Closing Price on Pricing Date	# of Spoofing Episodes	Average Return to Spoofing Episode	Defendant(s)
							CANACCORD GENUITY LLC
12/12/21	250,000	\$0.60	12/10/21**	\$0.60	5	-3.18%	GTS SECURITIES LLC; CANACCORD GENUITY LLC
<b>Totals</b>							
<b>44 Sales</b>	<b>14,141,632</b>						

\* Denotes a day on which a Spoofing Episode occurred.

\*\* Denotes a day on which a Spoofing Episode occurred in the final hour of trading.